


**SAN FRANCISCO PUBLIC UTILITIES COMMISSION
INFRASTRUCTURE CONSTRUCTION
MANAGEMENT PROCEDURES**

SECTION: SFPUC INFRASTRUCTURE CONSTRUCTION MANAGEMENT	APPROVED: 
PROCEDURE NO: 008	DATE: 6/7/2019
TITLE: REQUEST FOR SUBSTITUTION (RFS)	REVISION: 1

1.0 Policy

The Contractor is allowed, to submit a Request for Substitution (RFS) after Award of the Contract to request a change of contractually required products, equipment or services of equal or greater quality to the contractually required item. The City will consider Requests for Substitution received within 35 calendar days after the date of the Award of the Contract; requests made after that date may be considered or rejected at the sole discretion of the City. The City shall review Requests for Substitution and notify the Contractor within 30 days of receipt of a substitution request of acceptance or rejection of proposed substitutions. The City's determination shall be final.

This SFPUC Infrastructure CM Procedure applies to all personnel working on the SFPUC Infrastructure projects during construction to the extent that their work is affected by this CM Procedure and does not conflict with specific SFPUC policies or the Contract under which the Work is executed.

2.0 Description

The Contractor submits a RFS after execution of the Contract to request substitution of contractually required products, equipment or services. Approval of a RFS implies a contractual modification, and therefore requires the Contractor to initiate a Change Order Request. Depending on the Contract, a RFS is submitted either manually or by using the Construction Management Information System (CMIS). The CM team uses the CMIS to process, track, review, approve, and return the RFS to the Contractor.

3.0 Definitions

3.1 Request for Substitution (RFS)

RFS is defined in Contract Technical Specification Section 01 25 13. The RFS is a request proposed by the Contractor after the Award of the Contract to substitute a contractually required product, equipment or service by a product, equipment or service of equal or greater quality. Substitutions requested during the Bid period and accepted by Addendum prior to Award of the Contract, revisions to the Contract Documents requested by the Project Engineer (PE), specified options of products and construction methods included in the Contract Documents, and the Contractor's determination of and compliance with governing regulations and orders issued by governing authorities do not qualify as Substitutions. A RFS must be entered in the CMIS by the Contractor and include documentation regarding the substitution as detailed in Paragraph 5.1.

3.2 Construction Management Information System (CMIS)

The CMIS is an on-line management tool for the processing of contract documents based on established SFPUC Infrastructure CM Business Processes. It serves as a tool for effective storage and retrieval of various documents generated during a construction project. Contractor RFS submittals and associated RE submittal responses should be entered directly into the CMIS. Refer to Business Process 001b for RFS processing via CMIS.

4.0 Responsibilities

4.1 Contractor

The Contractor submits the RFS, addressing it to the attention of the RE. If CMIS is used, the RFS can be sent directly to the OE. The Contractor shall provide supporting documentation in accordance with the Contract Documents.

4.2 Resident Engineer (RE)

The RE is the single point of contact with the Contractor and is the designated "City Representative" as defined by the Contract Documents. The RE is responsible for timely and efficient management of a RFS and for either approving or rejecting the RFS. The RE shall coordinate with the PE, as the representative of the Engineering Management Bureau (EMB), and other stakeholders as necessary, to develop a Review Responsibility Matrix for the efficient determination of the Primary Reviewer of the RFS. The acceptance, review and approval or rejection of a RFS is at the discretion of the RE.

4.3 Office Engineer (OE)

The OE is responsible for processing the RFS and assigning the file code for filing as a hardcopy in the project files. The OE uses the Review

Responsibility Matrix to determine the routing of a RFS for review within the project CM team, EMB and/or design consultant or other primary reviewer, tracking RFS reviews to ensure timely response, and addressing all enquiries regarding the status of a RFS. The OE has the authority to reject a RFS and to return it to the Contractor for re-submittal if it is determined to be non-compliant with the Contract Documents. The OE checks responses to the RFS for completeness and obtains additional clarification or revision from the reviewer(s) where needed.

4.4 Primary Reviewer

The Review Responsibility Matrix shall identify one primary reviewer for the RFS who is responsible for coordination of the review and obtaining input from any other member(s) of the CM team, and for the preparation of a coordinated single response. Technical issues that affect the design shall be reviewed by the PE. Safety, quality, environmental, cost and schedule and other submittals will be reviewed by the appropriate CM team. Reviewers will give each RFS priority in their daily schedule and make every effort to respond in a timely manner.

4.5 Administrative/Document Control Specialist (ADCS)

The ADCS is responsible for maintaining the project files, ensuring the RFS is properly logged and filed, and that it is electronically recorded in the CMIS, as applicable. For smaller projects the OE or other CM team member designated by the RE can perform the role of the ADCS.

5.0 Implementation

5.1 The Contractor prepares the RFS on Contractor company letter head with all required statements, estimates, narratives and other documentation in accordance with the Contract Documents. For projects using the CMIS, the Contractor enters RFS data directly into the CMIS, referencing the pertinent Contract Documents, specification section, and/or drawing number. Contract Technical Specification Section 00 49 18 provides a sample of issues to address when submitting the RFS and should include:

- General or detailed narrative description of the difference and advantages and disadvantages
- General description of changes to plans, drawings and specifications, with reference to attached documents that provides appropriate details
- Information regarding the effect of the substitution, if any, on the Construction Schedule
- Information on availability of maintenance service and source of replacement materials
- Include accurate cost data comparison
- Narrative description of coordination of proposed RFS into the Work, including:

- Requirements for power or other support facilities
- Auxiliary equipment or structural modifications
- Level of service, shutdown or other operational considerations
- Information regarding previous use, including:
 - Description of project and use
 - If a City project, include Contract No., date and City action
 - Date of project and use
 - Licensed Professional Engineer contact information of similar projects on which the substitution was used
- Reference to attachments providing waiver of the following:
 - Restriction in City use or disclosure
 - Additional costs/time extension
 - Agreement not to hold City liable for acceptability or attributable delays
- Reference to attachments for the following documentation:
 - Provide appropriate estimate or itemization of anticipated changes from the original Work and associated cost/schedule savings
 - Certify equality or superiority of the proposed substitution
 - Provide warranty or bond for the proposed substitution
 - Waive claim for additional cost and/or time extensions associated with the substitution

The Contractor enters time and cost impacts of the proposed substitution into the time and cost impact fields of the CMIS.

The Contractor scans and attaches all required statements, estimates, narratives and other documentation per the Contract Documents. Any attachments that cannot be readily converted to an electronic format are transmitted the same day by the Contractor to the RE accompanied by a hard copy transmittal to list the item transmitted to the RE.

- 5.2** The OE assigns a file code in accordance with the Project File Index Code listed in CM Procedure 003, Project Documents and Correspondence Control. The OE reviews the RFS for completeness and conformance to the requirements of the Contract Documents.
- 5.3** If the RFS is non-compliant, the OE returns the RFS to the Contractor with the Status marked as Rejected. The OE should enter instructions for rectifying the non-compliance to allow for a new submittal of the RFS if the Contractor may wish to do so.
- 5.4** The ADCS files the complete hardcopy version of the RFS in the Project files.

- 5.5 If the RFS is compliant with the Contract Documents, the OE uses the Review Responsibility Matrix to determine the Primary Reviewer and enters a priority code and anticipated response date. In addition to the Review Responsibility Matrix, the OE determines the notification distribution list.
- 5.6 Non-technical RFSs should be reviewed by the appropriate project staff and technical RFSs that affect the design must be reviewed by the PE who will coordinate with the EMB design staff or the design consultant. Each RFS must be assigned one Primary Reviewer. The Primary Reviewer is expected to obtain whatever additional review assistance is required and compile one comprehensive response.
- 5.7 The OE reviews the responses from the Primary Reviewer and, if necessary, returns the response to the Reviewer for clarification. Upon satisfactory completion of the response, the OE forwards the response to the RE for approval or modification.
- 5.8 The RE determines if the RFS should be approved or coordinates with the OE and the Primary Reviewer to modify the response as needed. The RE determines the proper status response to the RFS and then forwards it to the OE for information and the ADCS for processing. The ADCS will save a copy in the Project files and forward the RFS to the Contractor. Except for updating the Project files, the use of the CMIS follows this same process electronically.

6.0 **Other Procedural Requirements**

None

7.0 **References**

7.1 **Technical Specifications**

Section 01 25 13 Product Substitution Procedures

Section 00 49 18 Request for Product Substitution (form)

7.2 **SFPUC Infrastructure CM Procedures**

No. 003 Project Documents and Correspondence Control

7.3 **Others**

NONE

8.0 Attachments

- 008 - 1 Request for Substitution (RFS) - Format
- 008 - 2 Request for Substitution (RFS) Log
- 008 - 3 Review Responsibility Matrix
- 008 - 4 Revision Control Log

Attachment 008 – 1
Page 1 of 3
Request for Substitution (RFS) - Format

REQUEST FOR SUBSTITUTION



SAN FRANCISCO PUBLIC UTILITIES COMMISSION
SEWER SYSTEM IMPROVEMENT PROGRAM



In accordance with California Public Contract Code Section 3400, Contractor will be provided a period of 35 days after the date of Award for submission of data substantiating a request for a substitution with an "or equal" item. Refer to Division 1 for requirements for requesting substitutions. Any cost saving resulting from the substitution shall be split equally between the Contractor and the City. Should the City not approve the substitution, the Contractor has no claim for anticipated savings or profits.

Contract No:
Project Name:
Submitted By:
Spec. Section:
Drawing Section:

RFS No:
Date:
Paragraph(s):

Proposed Substitution:

Manufacturer:
Address:
Phone:

Trade Name:
Model No.:

On-site Representative:
Address:
Phone:

Installer:
Address:
Phone:

Product History:

Differences between proposed substitution and specified product (Attach required point by point comparative data):

Reason for not providing specified item:

Similar installation where proposed substitution has been used (Project /

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Request for Substitution (RFS) - Format

REQUEST FOR SUBSTITUTION



SEWER SYSTEM
IMPROVEMENT PROGRAM
Grey. Green. Clean.

SAN FRANCISCO PUBLIC UTILITIES COMMISSION
SEWER SYSTEM IMPROVEMENT PROGRAM



**Address / Architect / Owner
/ Date Installed):**

**Proposed substitution
affecting other parts of
Work: (Y/N)
Explain:**

**Changes or modifications
needed to coordinate other
parts of the Work that will
be necessary to
accommodate the proposed
substitution:**

**Savings to City for
accepting substitution:**

**Proposed substitution
changes Contract Time:
(Y/N)**

Supporting data attached:

Document Type	Document Name	Description
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The undersigned certifies that:

1. The proposed substitution has been fully investigated and determined to be equal or superior in all respects to specified product.
2. The proposed substitution conforms in all respects to the requirements of the Contract Documents and is appropriate for the applications intended.
3. The same warranty will be furnished for proposed substitution as for specified product.
4. The proposed substitution will not affect or delay progress schedule.
5. The cost data as stated above is complete. There shall be no claims to the City for additional costs related to an accepted substitution.
6. The proposed substitution does not affect dimensions and functional clearances.

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Request for Substitution (RFS) - Format

REQUEST FOR SUBSTITUTION



SAN FRANCISCO PUBLIC UTILITIES COMMISSION
SEWER SYSTEM IMPROVEMENT PROGRAM



7. Coordination, installation, and changes in the Work as necessary for accepted substitution will be complete in all respects.

Submitted by: _____

Signature: _____

Firm: _____

Date: _____

CITY'S REVIEW AND ACTION

- Substitution accepted - Make submittals in accordance with Division 1.
- Substitution accepted as noted - Make corrections in accordance with Division 1.
- Substitution rejected - Use specified materials and equipment.
- Substitution Request received too late - Use specified materials.

Signed: _____

Date: _____

Note: the City's Acceptance of Contractor's submittal of shop drawings, product data, or samples supporting this Substitution Request shall not constitute approval of submittals which do not conform to the requirements of the Contract Documents.

Additional Comments:

Attachment 008 – 2 Request for Substitution (RFS) Log – Format

Create Request for Substitution Log														
<u>Request for Substitution Log</u>														
Contract Name:									Date:					
Contract Number:														
<u>Number</u>	<u>Title</u>	<u>Type</u>	<u>Priority</u>	<u>Received</u>	(A) <u>Reviewer</u>	(B) <u>To</u>	(C) <u>Reviewed</u>	(D) <u>OE Reviewer</u>	(E) <u>To</u>	(F) <u>Contractor</u>	<u>Date</u>	<u>Status</u>	<u>Distribute To</u>	<u>Completed</u>

**Attachment 008 - 4
Revision Control Log**

Revision No.	Revision Date	What changed?
Rev 1	6/7/19	<ul style="list-style-type: none">• Minor format changes• Attachments - revised• Revision Control Log - updated
Rev 0	11/14/16	Signed